

LME Alternative Service Request for Use of DMHDDSAS State Funds

For Proposed MH/DD/SAS Service Not Included in Approved Statewide IPRS Service Array

Note: Submit completed request form electronically to Wanda Mitchell, Budget and Finance Team, at Wanda.Mitchell@ncmail.net, and to Spencer Clark, Chief's Office, Community Policy Management Section, at Spencer.Clark@ncmail.net. Questions about completing and submitting this form may be addressed to Brenda G. Davis, CPM Chief's Office, at Brenda.G.Davis@ncmail.net or (919) 733-4670, or to Spencer Clark at Spencer.Clark@ncmail.net or (919) 733-4670.

a. Name of LME The Durham Center	b. Date Submitted 3/10/10	
c. Name of Proposed LME Alternative Service CAET School to Work Transition YA364 – Community Individual		
d. Type of Funds and Effective Date(s): <i>(Check All that Apply)</i> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> State Funds: Effective 7-01-09 to 6-30-10 <input checked="" type="checkbox"/> State Funds: Effective 7-01-10 to 6-30-11 </div>		
e. Submitted by LME Staff (Name & Title) Terry Ames, Developmental Disabilities Specialist	f. E-Mail tames@co.durham.nc.us	g. Phone No. 919-560-7511

Background and Instructions:

This form has been developed to permit LMEs to request the establishment in IPRS of Alternative Services to be used to track state funds through a fee-for-service tracking mechanism. An LME that receives state single stream or other state non-UCR funding shall use such funding to purchase or start up services included in the Integrated Payment and Reporting System (IPRS) service array and directed towards the approved IPRS target population(s). If the LME wishes to propose the use of state funds for the provision of an Alternative Service that is not included in the IPRS service array, the LME shall submit an ***LME Alternative Service Request for Use of DMHDDSAS State Funds***.

This form shall be completed to fully describe the proposed Alternative Service for which Division approval is requested in order to develop an IPRS reporting code and an appropriate rate for the Alternative Service.

Please use the following template to describe the LME's proposed Alternative Service definition and address all related issues using the standard format and content categories that have been adopted for new MH/DD/SA Services.

Please note that:

- an individual LME Alternative Service Request form is required to be completed for each proposed Alternative Service;
- a separate Request for Waiver is required to be submitted to the Division for the LME to be authorized by the Secretary to directly provide an approved Alternative Service; and
- the current form is not intended to be utilized in SFY 07-08 for the reporting on the use of county funds by an LME. The Division continues to work with the County Funds Workgroup to establish a mechanism to track and report on the use of county funds through IPRS reporting effective July 1, 2008.

	<p align="center">Requirements for Proposed LME Alternative Service</p> <p align="center"><i>(Items in italics are provided below as examples of the types of information to be considered in responding to questions while following the regular Enhanced Benefit Service definition format. Rows may be expanded as necessary to fully respond to questions.)</i></p>
<p align="center">Complete items 1 through 28, as appropriate, for all requests.</p>	
<p align="center">1</p>	<p>Alternative Service Name, Service Definition and Required Components CAET - School to Work Transition</p> <p><i>Please note: the following service definition is based on one that was developed by a Statewide Employment Work Group and presented to the Division in 2004. The recommendation of the Work Group was that this definition would replace the Adult Developmental Vocational Program (ADVP) service definition.</i></p> <p>Individuals with developmental disabilities and/or co-occurring mental illness diagnoses, and/or a traumatic brain injury are eligible to receive this service. This service is to be provided on an individualized basis. Participation will be scheduled as defined in the goals of the individual's person-centered plan. The service is designed to support the individual's personal independence and self-sufficiency and to promote social, physical and emotional well-being through activities such as integrated employment, social skills development, leisure activities, training in daily living skills, improvement of health status, and utilization of community resources.</p> <p>Students transitioning from secondary schools should achieve a successful outcome that leads to community employment and a meaningful life in the community. Successful transition means that students enter the labor force or enter education programs that lead to employment. The goal of school to work transition is to prevent secondary students with disabilities from leaving school without entering employment.</p> <p>Transitioning students should be prepared to enter into work settings, using generic job placement and employment services. They also can enter short-term vocational training (work adjustment/generic vocational training) that leads to employment in real jobs in the community.</p>
<p align="center">2</p>	<p>Rationale for proposed adoption of LME Alternative Service to address issues that cannot be adequately addressed within the current IPRS Service Array</p> <p>In 2005, a Statewide Employment Work Group of experts, practitioners, advocacy groups, family members, public agencies, and the Division of MHDDSAS convened to discuss and develop a service definition which incorporates best known practices to replace segregated, sheltered workshops under the ADVP service definition. CAET services go beyond exploring vocational (work) opportunities and address the consumer's "whole" life. Examples include work, play, volunteering, natural support, skills development, personal growth, socialization and wrap-around supports. Most individuals who had been attending ADVP had little, if any, knowledge of resources in their community and little exposure to the possibilities of employment.</p> <p>CAET School to Work is intended to prepare students and youth to make the transition from the world of school to world of adulthood. The most common choice for the future is to pursue a job to live independently.</p> <p>The CAET model is not a readiness model and is not dependent upon individuals being referred to Vocational Rehabilitation in order to obtain employment. CAET staff become a "life/work support team" for each person and support individuals in securing jobs, volunteering, learning to ride the public transportation system, learning to use a computer, securing stable</p>

	<p>housing, going back to school to take classes, joining civic groups, attending church, learning to grocery shop and plan a budget, developing their artistic talents.</p> <p>Provision of School to Work should allow individuals to explore employment related activities such as the following:</p> <ul style="list-style-type: none"> • Exploring preferences, dislikes, barriers to employment, and strengths specific to person going to competitive employment. • Building stamina to work in an individual's employment of choice. • "Ask an Employer"- having multiple interaction opportunities in the community. • Community Job Exploration. • Doing Job Shadowing and being involved in Community Based Assessments. • Developing Resumes. • Filling out job applications. • Interviewing with employers for feedback/review. <p>The goal of CAET - School to Work Transition is to assure a successful transition to integrated employment in the community for special education students leaving high school, such that they do not have to go without supported employment or other post-secondary experiences.</p> <p>"Integrated setting means, with respect to an employment outcome, a setting typically found in the community in which individuals with disabilities interact with individuals without disabilities (beyond simply those who are providing their services)." (Rehabilitation Services Manual, Sec. §361.5 (b) (33) (ii)) In other words, CAET will help people access a community based setting which employs, for no less than the minimum wage, at least 51% individuals without disabilities. When secondary students are unable to make a successful transition to employment, they often continue to live at home, without the benefit of meaningful activities. Most young adults prefer to have a purposeful and productive day with the opportunity to earn and eventually increase wages and benefits. Additionally, special education students are best prepared to make a successful transition from school to work at the point when they exit high school to continue secondary vocational education experiences. The service is designed for students with more severe disabilities who need intensive support to prepare for Supported Employment and to sustain employment in an integrated and competitive market.</p>
3	<p>Description of service need(s) to be addressed exclusively through State funds for which Medicaid funding cannot be appropriately accessed through a current Medicaid approved service definition</p> <p>School to work transition as defined in the Rehabilitation Services Administration (RSA) Federal Regulations means a coordinated set of activities for students prior to and following graduation, ages 16 up to 24 designed within an outcome-oriented process that promotes movement from school to post-school activities, including post secondary education, vocational training, integrated employment (including Supported Employment), continuing adult education, adult services, independent living, or community participation. The coordinated set of activities must be based upon the individual's preferences and interests, and must include instruction, community experiences, the development of employment and other post-school adult living objectives and, if appropriate, acquisition of daily living skills and functional vocational evaluation. Transition services must promote or facilitate the achievement of the employment outcomes identified in the individualized plan for employment.</p> <p>The service does not duplicate existing Medicaid service definitions of Supported Employment and ADVP. CAET School to Work service is designed for students who need additional support and training before transitioning into Supported Employment. It also differs from ADVP by preparing individuals for inclusive and competitive employment in an integrated setting. There is sufficient evidence that a work "readiness model" does not achieve successful outcomes, i.e., one cannot predict who will be successful in employment, people do not always generalize skills and abilities from one setting to another, some "problem behaviors" cannot be fixed in a segregated setting and "real work" situations can only be simulated to a limited</p>

	<p>extent.</p> <p>The CAET model fully embraces the “support model” which is developed around the following tenets: integrated versus segregated education; real work in integrated settings; personalized “flexible” supports designed for the person as opposed to fitting people into programs; supported or independent living as opposed to large group living; commitment to supporting membership in the community; and self-determination in which the person, family members and friends determine how supports will be provided.</p>
4	<p>Please indicate the LME’s Consumer and Family Advisory Committee (CFAC) review and recommendation of the proposed LME Alternative Service: (Check one)</p> <p><input checked="" type="checkbox"/> Recommends <input type="checkbox"/> Does Not Recommend <input type="checkbox"/> Neutral (No CFAC Opinion)</p> <p>CFAC members participated on Program Development Advisory Council (PDAC), tasked with helping to develop alternative service definitions and Requests for Proposal. The PDAC met several times, and communicated via email, to discuss and draft the CAET service definition. One meeting included staff on conference call from Mecklenburg County LME who was instrumental in creating a CAET service definition for the LME catchment area and has monitored its implementation.</p>
5	<p>Projected Annual Number of Persons to be Served with State Funds by LME through this Alternative Service: 12</p>
6	<p>Estimated Annual Amount of State Funds to be Expended by LME for this Alternative Service: \$65,042</p>
7	<p>Eligible IPRS Target Population(s) for Alternative Service: (Check all that apply)</p> <p><u>Assessment Only:</u> <input type="checkbox"/> All <input type="checkbox"/> CMAO <input type="checkbox"/> AMAO <input type="checkbox"/> CDAO <input type="checkbox"/> ADAO <input type="checkbox"/> CSAO <input type="checkbox"/> ASAO</p> <p><u>Crisis Services:</u> <input type="checkbox"/> All <input type="checkbox"/> CMCS <input type="checkbox"/> AMCS <input type="checkbox"/> CDCS <input type="checkbox"/> ADCS <input type="checkbox"/> CSCS <input type="checkbox"/> ASCS</p> <p><u>Child MH:</u> <input type="checkbox"/> All <input type="checkbox"/> CMSED <input type="checkbox"/> CMMED <input type="checkbox"/> CMDEF <input type="checkbox"/> CMPAT <input type="checkbox"/> CMECD</p> <p><u>Adult MH:</u> <input type="checkbox"/> All <input type="checkbox"/> AMSPM <input type="checkbox"/> AMSMI <input type="checkbox"/> AMDEF <input type="checkbox"/> AMPAT <input type="checkbox"/> AMSRE</p> <p><u>Child DD:</u> <input checked="" type="checkbox"/> CDSN</p> <p><u>Adult DD:</u> <input checked="" type="checkbox"/> All <input type="checkbox"/> ADSN <input type="checkbox"/> ADMRI</p> <p><u>Child SA:</u> <input type="checkbox"/> All <input type="checkbox"/> CSSAD <input type="checkbox"/> CSMAJ <input type="checkbox"/> CSWOM <input type="checkbox"/> CSCJO <input type="checkbox"/> CSDWI <input type="checkbox"/> CSIP <input type="checkbox"/> CSSP</p> <p><u>Adult SA:</u> <input type="checkbox"/> All <input type="checkbox"/> ASCDR <input type="checkbox"/> ASHMT <input type="checkbox"/> ASWOM <input type="checkbox"/> ASDSS <input type="checkbox"/> ASCJO <input type="checkbox"/> ASDWI <input type="checkbox"/> ASDHH <input type="checkbox"/> ASHOM <input type="checkbox"/> ASTER</p> <p><u>Comm. Enhance.:</u> <input type="checkbox"/> All <input type="checkbox"/> CMCEP <input type="checkbox"/> AMCEP <input type="checkbox"/> CDCEP <input type="checkbox"/> ADCEP <input type="checkbox"/> ASCEP <input type="checkbox"/> CSCEP</p> <p><u>Non-Client:</u> <input type="checkbox"/> CDF</p>
8	<p>Definition of Reimbursable Unit of Service: (Check one)</p> <p><input type="checkbox"/> Service Event <input checked="" type="checkbox"/> 15 Minutes <input type="checkbox"/> Hourly <input type="checkbox"/> Daily <input type="checkbox"/> Monthly</p> <p><input type="checkbox"/> Other: Explain _____</p>
9	<p>Proposed IPRS Average Unit Rate for LME Alternative Service</p>

	<p><i>Since this proposed unit rate is for Division funds, the LME can have different rates for the same service within different providers. What are the proposed IPRS Unit Rates for which the LME proposes to reimburse the provider(s) for this service?</i></p> <p>\$7.30 Community Individual</p>
10	<p>Explanation of LME Methodology for Determination of Proposed IPRS Unit Rates for Service <i>(Provide attachment as necessary)</i></p> <p>This rate was based on average cost of providing group education (at a 1:6 ratio focused on training and skills building) in the community, and individual coaching in the community. Rates are comparable to Supported Employment.</p>
11	<p>Provider Organization Requirements</p> <p>CAET School to Work Transition must be delivered by a qualified provider organization, which meets the standards established by the Division of MH/DD/SAS. These standards set forth the administrative, financial, clinical, quality improvement and information services infrastructure necessary to provide services. Provider organizations must demonstrate that they meet these standards by either being certified by the Local Management Entity (LME) or being accredited by a national accrediting body. The organization must be established as a legally recognized entity in the United States and qualified/registered to do business in the State of North Carolina. The program must have a designated full-time director. Evaluation services shall be available for all individuals. There should be a supportive, therapeutic relationship between the provider and the individual which addresses and/or implements interventions outlined in the PCP. Provider organization must demonstrate how it has implemented the philosophy and principles of Self-Determination, Person Centered Thinking and Person Centered Planning. Consumer choice must be built into each aspect of the individual's person centered plan.</p>
12	<p>Staffing Requirements by Age/Disability <i>(Type of required staff licensure, certification, QP, AP, or paraprofessional standard)</i></p> <p>CAET School to Work services shall be under the direction of a person who meets the requirements specified for Qualified Professional (QP) status according to 10A NCAC 27G.0104. The QP is responsible for the supervision of other program staff which may include Associate Professionals (AP) and paraprofessionals who meet the requirements according to 10A NCAC 27G.0104 and who have the knowledge, skills and abilities required by the population to be served/supported.</p> <p>The required staff ratio is one to six (or fewer), but individual needs must be met.</p>
13	<p>Program and Staff Supervision Requirements</p> <p>Staff involved with this service will be designated to support the individual's personal independence and promote social, physical and emotional well-being through inclusive activities such as integrated employment, social skills development, leisure activities, life skills training, improvement of health status, and utilization of community resources based on evidence-based practices (i.e. cited in Rehabilitation Services Administration, National Secondary Transition Technical Assistance Center).</p> <p>The organization should have job descriptions that promote the focus on integrated employment and related community supports. There should also be a staff compensation and reward process that reinforces desired employment outcomes.</p> <p>Supervision of QPs, APs and PPs shall be provided by a professional for the population served, until the staff member has two years of experience. Staff should have a high school diploma at a minimum. The supervisor and the employee shall develop an individualized supervision plan upon hiring. The parties shall review the plan annually.</p>

14	<p>Requisite Staff Training</p> <p>This service must be provided by qualified professionals, associate professionals, or paraprofessionals who have documented experience working with young adults with developmental disabilities. CAET School to Work is intended to meet the needs of young adults (ages 16-24) in transition from school to community employment. Thus, staff must be trained to listen to and respect the employment desires of each individual they support, adhere to the norms of each workplace, and to work closely with others involved in the person's life. Staff must also have specific training on community based employment skills, and be knowledgeable in person centered thinking, person centered planning, and the philosophy and principles of Self Determination. They should also be trained in developing partnerships with the business community.</p>
15	<p>Service Type/Setting</p> <p>This is a community based type of service. Services are based on inclusion, wherever the individual chooses to live, work and recreate. Services cannot be provided in segregated settings.</p>
16	<p>Program Requirements</p> <p>The activities and services of CAET School to Work Transition shall be driven by a person-centered planning process based on the young adult's needs. Services shall include strength-based career assessment, short-term vocational training, employability counseling, job interview assistance, job development, job coaching, and life skills training.</p> <p>The maximum required staff ratio is one staff to six or fewer individuals for Community Group.</p> <p>The age group shall encompass only individuals aged 16-24 in transition into the community as they prepare to or they have left secondary school settings.</p>
17	<p>Entrance Criteria</p> <p>Per 10A NCAC 27G .2306 (b) (3), a qualified developmental disabilities professional shall certify the eligibility of each individual for the CAET School to Work Transition service according to the following criteria:</p> <p style="padding-left: 40px;">A. There is an Axis I or II diagnosis present or the person has a condition that may be defined as a developmental disability in GS 122C-3 (12a).</p> <p style="text-align: center;">AND</p> <p style="padding-left: 40px;">Level of Care Criteria, NCSNAP</p> <p style="text-align: center;">AND</p> <p style="padding-left: 40px;">B. The individual is experiencing difficulties in at least one of the following areas:</p> <ol style="list-style-type: none"> 1. Functional impairment 2. Crisis intervention/diversion/aftercare needs, and/or 3. At risk of placement in more restrictive setting <p style="text-align: center;">AND</p> <p style="padding-left: 40px;">C. The individual's level of functioning has not been restored or improved and may indicate a needs for intensive supports in a natural setting if any of the following apply:</p> <ol style="list-style-type: none"> 1. At risk of out of home placement, hospitalization, and/or institutionalization due to symptoms associated with diagnosis.

	<p>2. At risk of exclusion from services, placement or significant or significant community support systems as a result of functional or behavioral issues associated with the diagnosis.</p> <p>This requires a Person Centered Plan (PCP) that promotes successful integration into the community through individualized supports and activities.</p>
18	<p>Entrance Process</p> <p>Authorization by the Local Management Entity (LME) is required. The services must be included in an individual's Person Centered Plan (PCP) and authorized prior to or on the day services are to be posted. Initial authorization for services would not exceed a three (3) month period. Re-authorization will be conducted every three (3) months.</p>
19	<p>Continued Stay Criteria</p> <p>The desired outcome or level of functioning has not been restored, improved or sustained over the time frame outlined in the Person Centered Plan. If expected outcomes have not been met, the Person Centered Plan must be re-evaluated and modified to indentify more effective support strategies.</p>
20	<p>Discharge Criteria</p> <p>Individual requests discharge from program, or the individual is not achieving stated outcomes from this service and an alternative service is identified, or the individual has achieved expected outcomes, or the individual can sustain outcomes without the service.</p> <p>The anticipated length of stay could range from 30 days to 180 days with an average around 120 days</p>
21	<p>Evaluation of Consumer Outcomes and Perception of Care</p> <p>Outcomes should be based on best practice, person-centered planning, and informed choice. The following are outcomes expected for students transitioning from secondary special education programs to work and life in the community:</p> <ul style="list-style-type: none"> ○ Consumers employed in career/job of their choice in an integrated setting the community receiving minimum wage or greater ○ Consumers admitted to Supported Employment service ○ Consumers attending vocational training at community college or VR or higher education <p>An outcome monitoring system must be able to track individual information in order to track progress over time. This system must also be able to provide aggregate data for all consumers being supported. Quarterly progress reports with information on each individual are to be provided to the LME.</p>
22	<p>Service Documentation Requirements</p> <ul style="list-style-type: none"> • <i>Is this a service that can be tracked on the basis of the individual consumer's receipt of services that are documented in an individual consumer record?</i>

	<p>X Yes <input type="checkbox"/> No If "No", please explain.</p> <ul style="list-style-type: none"> • Minimum standard for frequency of note, i.e. per event, daily, weekly, monthly, etc. Monthly <p>Documentation in the individual's medical record is required as defined in the Records Management and Documentation Manual 45-2 (4/09). Service note requirements as outlined in the Service Records Manual elements are: individual's name; record number; date service provided; duration of service; purpose of contact; description of the intervention/activity; assessment of individuals progress toward goals; signature of person who provided the service including (professional: credentials, degree, or licensure of clinician; paraprofessional; position of the individual).</p>
23	<p>Service Exclusions</p> <p>Individuals without developmental disabilities or traumatic brain injury are excluded from this service.</p>
24	<p>Service Limitations</p> <p>Either Community Group or Community Individual authorized is not to exceed three hours in any one day.</p> <p>This service cannot be provided during the same authorization period when an individual is receiving Supported Employment Individual or Group either through DMH or DVR.</p> <p>If an individual has a Person Centered Plan that also includes either Personal Assistance or Developmental Therapy, the goals and objectives of those services cannot duplicate goals and objectives of CAET and there must be evidence that the combination of these services are needed to support an individual increasing their level of self-sufficiency.</p> <p>This service is not billable to Medicaid or under the CAP MR/DD Waivers.</p>
25	<p>Evidence-Based Support and Cost Efficiency of Proposed Alternative Service</p> <p>DMHDDSAS 2004 Employment Services Workgroup Report</p> <p>2007 CAET Summit, High Point, NC</p> <p>Mecklenburg County Alternative Service Definition for CAET Services</p>
26	<p>LME Fidelity Monitoring and Quality Management Protocols for Review of Efficacy and Cost-Effectiveness of Alternative Service</p> <p>The LME will monitor against the outcome measures listed above and in the context of individuals achieving a quality of life, with the level of support they need, to be as independent and self sufficient as possible and to become a full citizen of their community.</p>
27	<p>LME Additional Explanatory Detail (as needed)</p> <p>The Durham Center acknowledges that young adults leave secondary school settings in Durham County, and are in need of additional employment readiness training unavailable in our community. CAET School to Work Transition will provide this additional support, outside of traditional community-based supported employment services.</p>